Attorney's Docket No.: 09857-073001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom, Michael S.

Art Unit : 3693

Spector and John L. Jacobs

Examiner: Sara M. Chandler

Serial No.: 10/001,900

Conf. No. : 8995

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Title

: BALANCING ARBITRAGABLE TRACKING SECURITIES

MAIL STOP RCE

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being made with the filing of a Request for Continued Examination. No fee is required.

Respectfully submitted.

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